IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Shrenik Deliwala

: Attorney Docket No.: 53168-500301D3

Serial No.:

Not yet known

Filed: February 15, 2002

For:

INTEGRATED OPTICAL/ELECTRONIC

CIRCUITS AND ASSOCIATED METHODS OF SIMULTANEOUS

GENERATION THEREOF

INFORMATION DISCLOSURE STATEMENT PURSUANT TO 37 C.F.R. §§ 1.56 ET SEQ.

Assistant Commissioner for Patents Washington, D.C. 20231

Dear Sir:

In accordance with 37 C.F.R. § 1.97(b), the above-identified Applicants cite the following patents and publications, which may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. § 1.56. In compliance with 37 C.F.R. § 1.98(d), copies of the patents and publications set forth below and listed on the attached Forms PTO-1449 and PTO/SB/08A (5 sheets) have not been provided because they were cited in grand parent application no. 09/859,693 or parent application no. 09/991,542.

EXPRESS MAIL CERTIFICATE (37 C.F.R. § 1.10)

Express Mail Label No. EL931061769US	Date of Deposit February 15, 2002
	apers and/or fees referred to herein as transmitted, submitted or
enclosed, are being deposited with the U.S. Postal	Service "Express Mail Post Office to Addressee" service under
37 C.F.R. § 1.10 on the date indicated above and i	s addressed to the Assistant Commissioner for Patents,
Washington, D.C. 20231.	Signature OH
Name Daniel H. Golub	Signature

Patent No.	Patentee	Issue Date			
6,177,685 B1	Teraguchi et al.	January, 2001			
6,188,818 B1	Han et al.	February, 2001			
6,166,846	Maloney	December, 2000			
6,075,908	Paniccia et al.	June, 2000			
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Patent Appl. Publication No.	Patentee/Applicant	Publication Date
US 2001/0031112 A1	Frish et al.	October 18, 2001
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Michael C. Parker et al., Applications of Active Arrayed-Waveguide Gratings in Dynamic WDM Networking and Routing, Journal of Lightwave Technology, Vol. 18, No. 12, December 2000.

Bardia Pezeshki et al., Vertical Cavity Devices as Wavelength Selective Waveguides, Journal of Lightwave Technology, Vol. 12, No. 10, October 1994.

Lucent Technologies, Bell Labs Innovations, Arrayed Waveguide Grating Multiplexer/Demultiplexer, January 2000.

Robert Shi and Tomasz Jannson, Optical Interconnection Foundations and Applications, Chapter 5, Integrated Optical Waveguide Routing—Micro-optics, Artech House, pp. 141-225.

Amalia N. Miliou et al., A 1.3-µm Directional Coupler Polarization Splitter by Ion Exchange, Journal of Lightwave Technology, Vol. 11, No. 2, February 1993.

Gijs J. M. Krijnen et al., A New Method for the Calculation of Propagation constants and Field Profiles of Guided Modes of Nonlinear Channel Waveguides Based on the Effective Index Method, Journal of Lightwave Technology, Vol. 12, No. 9, September 1994.

Applicants respectfully request that these items be considered by the Examiner, and that the Examiner acknowledge consideration of these references by initialing and returning copies of the enclosed Forms PTO-1449 and PTO/SB/08A with the next official action.

While this Information Disclosure Statement may be "material" pursuant to 37 C.F.R. § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention or otherwise material to the patentability of this invention as defined in 37 C.F.R. § 1.56.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure

Statement shall not be construed as a representation that a search has been made or that no other material information as defined in 37 C.F.R. § 1.56(b) exists.

Respectfully submitted,

Daniel H. Golub Reg. No. 33,701

Attorney for Applicant

MORGAN, LEWIS & BOCKIUS LLP 1701 Market Street Philadelphia, PA 19103-2921 215.963.5055

Dated: February 15, 2002

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FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE (MODIFIED)

ATTY, DOCKET NO. 53168-500301D3

SERIAL NO. Not yet known

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

APPLICANT Shrenik Deliwala

(Use several sheets if necessary)

EXAMINER

FILING DATE GROUP

(37 C.F.R. § 1.98(b)) February /5, 2002 Not yet known U.S. PATENT DOCUMENTS FILING DATE IF ISSUE APPROPRIATE EXAMINER SUBCLASS PATENT NUMBER DATE **PATENTEE** CLASS INITIAL 5 01/01 6 7 8 A 1 6 Teraguchi et al. В 8 8 8 8 02/01 6 1 1 Han et al. C 6 6 8 4 1 6 12/00 6 Maloney 0 7 5 9 0 8 D 6 06/00 Paniccia et al. 2 2 E 6 1 4 1 9 09/00 Kurokawa F 5 8 6 4 6 4 2 01/99 Chun et al. 2 G 5 8 7 3 02/99 6 0 Paniccia et al. Η 5 8 3 5 6 4 6 11/98 Yishimura et al. I 9 2 5 6 6 8 6 12/97 Hauer et al. J 4 7 7 7 8 3 07/87 6 Cratsa 3 9 K 5 6 8 06/97 4 6 Feldman et al. FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION TRANSLATION **PUBLICATION** COUNTRY OR SUBCLASS DATE DOCUMENT NUMBER PATENT OFFICE **CLASS** YES NO OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication) Michael C. Parker et al., Applications of Active Arrayed-Waveguide Gratings in Dynamic WDM Networking and Routing, Journal of Lighwave Technology, Vol. 18, No. 12, December 2000. M Bardia Pezeshki et al., Vertical Cavity Devices as Wavelength Selective Waveguides, Journal of Lightwave Technology, Vol. 12, No. 10, October 1994. Lucent Technologies, Bell Labs Innovations, Arrayed Waveguide Grating Multiplexer/Demultiplexer, January 2000. N 0 Robert Shi and Tomasz Jannson, Optical Interconnection Foundations and Applications, Chapter 5, Integrated Optical Waveguide Routing - Micro-optics, Artech House, pp. 141-225. P Amalia N. Miliou et al., A 1.3 µm Directional Coupler Polarization Splitter by Ion Exchange, Journal of Lightwave Technology, Vol. 11, No. 2, February 1993. Gijs J. M. Krijnen et al., A New Method for the Calculation of Propagation constants and Field Profiles of Guided Q Modes of Nonlinear Channel Waveguides Based on the Effective Index Method, Journal of Lightwave Technology, Vol. 12, No. 9, September 1994.

EXAMINER: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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PTO/SB/08A (10-01)

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